

**STATE PLAN FOR INDIANA
CHILD CARE & DEVELOPMENT FUND SERVICES
FOR THE PERIOD 10/1/01 – 9/30/03**



**CHILD CARE AND DEVELOPMENT FUND PLAN
FOR INDIANA
FFY 2002-2003**

This Plan describes the CCDF program to be conducted by the State for the period 10/1/01 – 9/30/03. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including changing the options selected or described herein.

The official text of the applicable laws and regulations govern, and the Lead Agency acknowledges its responsibility to adhere to them regardless of the fact that, for purposes of simplicity and clarity, the specific provisions printed herein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text.

Public reporting burden for this collection of information is estimated to average 162.57 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

(Form ACF 118 Approved OMB Number: 0970-0114 expires 02-29-2004)

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AMENDMENTS LOG

Child Care and Development Services Plan for
For the period: 10/1/01 -- 9/30/03

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF

Instructions:

- 1) Lead Agency completes the first 3 columns and sends a photocopy of this Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional contact. A copy of the Log, showing the latest amendment pending in ACF, is retained in the Lead Agency's Plan.
- 2) ACF completes column 4 and returns a photocopy of the Log to the grantee.
- 3) The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain those "old" plan pages that are superseded by amendments in a separate appendix to its Plan.

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PART 1 -- ADMINISTRATION

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1 Lead Agency Information: (as designated by State chief executive officer)

Name of Lead Agency: **Indiana Family & Social Services Administration
Division of Family and Children**
Address of Lead Agency: **402 W. Washington St. W-392
Indianapolis, IN 46204**
Name and Title of the
Lead Agency's Chief Executive Officer: **James M. Hmurovich, Director
Division of Family and Children**
Phone & Fax Numbers: **317-232-4704
317-232-4490**

1.2 State Child Care (CCDF) Contact Information: (day-to-day contact)

Name and Title of the
State Child Care Contact (CCDF): **Carole Stein, Acting Deputy Director
Bureau of Child Development**
Address of Contact: **402 W. Washington St., W-386
Indianapolis, IN 46204**
Phone & Fax Numbers: **317-233-0631/317-232-4490**
E-Mail Address: **cstein@fssa.state.in.us**

- 1.3** The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period: October 1, 2001 through September 30, 2002. (§98.13(a))

-Federal Child Care & Development Fund: \$ 92,196,014
-Federal TANF Transfer to CCDF (if known): \$ 53,250,771
-Direct Federal TANF Spending on Child Care (if known): \$ 10,000,000
-State Maintenance of Effort Funds: \$ 15,356,949
-State Matching Funds: \$ 18,313,807

- 1.4** The Lead Agency estimates that the following amount (and percentage) of the CCDF will be used to administer the program (not to exceed 5 percent): \$ 5,700,000 (2.59 %). (658E(c)(3), §§98.13(a), 98.52)

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1.5 Does the Lead Agency directly administer and implement all services, programs and activities funded under the CCDF Act, including those described in Part 5 – Activities & Services to Improve the Quality and Availability of Child Care?

() Yes. – GO to Section 1.8.

(X) No, and the following describes how the Lead Agency maintains overall control when services or activities are provided through other agencies. (658D(b)(1)(A), §98.11)

The lead agency maintains overall control of service activities by:

1. *Requiring local plans to be submitted for review and approved by the lead agency (Request for Funds attached as Attachment A).*
2. *Contracting directly with the local entity chosen to administer the CCDF fund (See Attachment B).*
3. *Monitoring each entity throughout the contract period for contract and policy compliance through:*
 - *On-site reviews including case sampling;*
 - *Parent, provider, and local Office and Family and Children (OFC) customer satisfaction surveys;*
 - *Monthly and quarterly program data reporting; and*
 - *Monthly fiscal reporting.*
4. *Collaboration with the local Step Ahead Planning Councils regarding:*
 - *Selection of local entity through public process at the local level (See Attachment A);*
 - *Establishment of plan for local priorities and policies;*
 - *Oversight of local operations; and*
 - *Consumer comment and appeals process (See Attachment C).*
5. *Consumer Appeals Policy (See Manual, Appendix C).*

1.6 For **child care services** funded under §98.50 (i.e., certificates, vouchers, grants/contracts for slots **based on individual eligibility**), does the Lead Agency itself: (§98.11)

- Determine individual eligibility of non-TANF families? YES ___ NO X
If NO, identify the name and type of agency that determines eligibility of non-TANF families for child care:

Each Step Ahead local planning council selects the entity to be the voucher agent for their county. (See Attachment B)

- Determine individual eligibility of TANF families? YES X NO ___
If NO, identify the name and type of agency that determines eligibility of TANF families for child care:

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- Assist parents in locating child care? YES____ NO X

If NO, identify the name and type of agency that assists parents:

The State has contracted directly with local Child Care Resource and Referral Agencies to assist parents in locating child care and to improve and expand statewide resources (See Attachment D).

In addition, a web based child care finder is now available for parents statewide as the result of a collaboration between the lead agency and the Child Care Resource and Referral Agencies.

- Make payments to providers? YES____ NO X

If NO, identify the name and type of agency that makes payments:

The local voucher agent makes reimbursements to providers twice a month. The caregiver submits service delivery documentation to the voucher agent at least twice a month.

- 1.7** Is any entity named in response to section 1.6 a non-governmental entity? (658D(b), §§98.10(a), 98.11(a))

() No.

(X) Yes, the following entities named in section 1.6 are non-governmental:

Please refer to the voucher agent list in Attachment B. All entities except The City of Bloomington are non-governmental.

Section 1.8 - Use of Private Donated Funds

- 1.8.1** Will the Lead Agency use private donated funds to meet a part of the matching requirement of the CCDF pursuant to §98.53(e)(2) and (f)?

(X) No. GO TO 1.9

() Yes, and the entity designated to receive private donated funds is:

Name of entity:

Address:

Contact:

- 1.8.2** Is the entity designated to receive private donated funds (named above) a non-governmental agency? (§98.11(a))

() Yes.

() No.

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Section 1.9 - Use of State Pre-Kindergarten (Pre-K) Expenditures

1.9.1 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF maintenance of effort (MOE) requirement?

(X) No.

() Yes, and the State assures that its level of effort in full day/full year child care services has not been reduced, pursuant to §98.53(h)(1).

1.9.2 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF Matching Fund requirement? (§98.53(h))

(X) No.

() Yes, and the following describes State efforts to ensure that pre-K programs meet the needs of working parents (§98.53(h)(2)):

1.9.3 Will the State use Pre-K expenditures to meet more than 10% of the:

- Maintenance of effort requirement, OR
- Matching fund requirement?

If No to both, CHECK HERE X.

If Yes to either, the following describes how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)).

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PART 2 -- DEVELOPING THE CHILD CARE PROGRAM

Section 2.1 – Consultation and Results of Coordination:

Describe the consultations the Lead Agency held in developing this Plan. At a minimum, the description must include the following: 1) the representatives of local governments (including tribal organizations when such organizations exist within the boundaries of the State) that were consulted (658D(b)(2), §§98.12(b), 98.14(b)); and, 2) the results of coordination with other Federal, State, local, and tribal (if applicable) agencies and programs including those involved with public health, employment, public education, and TANF. (658D(b)(1)(D), §§98.12(a), 98.14(a)(1) & (2))

On-going local consultation is a hallmark of the Step Ahead process. Representatives of the lead agency participate in quarterly Step Ahead coordinator meetings as well as frequently attending local county Step Ahead Council meetings. Each local Council has a coordinator. Coordinator meetings are conducted on a regular basis at the state and regional level. Every county also has a local county CCDF team represented by the Local Office of Family and Children, the CCDF voucher agent, the local Child Care Resource and Referral, and the Step Ahead Coordinator. This county child care planning team also works closely with the Lead Agency.

The lead agency formed a Program Review Team consisting of legal, fiscal, and program staff from within the Family and Social Services Administration to guide implementation of CCDF statewide. This group meets monthly to review fiscal, program, and policy issues identified.

The state plan is predicated on the CCDF Policies and Procedures Manual. The manual is a compilation of an extensive stakeholder process that included input from the local Step Ahead Councils in all 92 counties. The Councils have representatives from Child Care Resource and Referral (CCRR), voucher agents, local Offices of Family and Children, plus other local representatives such as city and county officials, schools, businesses, and consumers.

The focus of the Step Ahead process is coordination and collaboration among state and local agencies involved in early childhood and family services. Coordination must be demonstrated at the local level before a county may receive Step Ahead or CCDF funding. Local coordination may include the Local Office of Family and Children, public schools, Head Start, early intervention programs for infants and toddlers, county health departments, PIC programs, WIC programs, maternal and child health programs, and mental retardation and mental health centers.

The emphasis on local coordination is the key to success of Indiana's implementation of CCDF and enrollment increase. Without the local partnerships, such success would not have been possible. There are many individual local success stories such as Marion County's adoption and implementation of minimum standards for legally license exempt providers through the cooperation of the local health department and the Office of Family and Children.

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Section 2.2 - Public Hearing Process:

Describe the Statewide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. At a minimum, the description must include the date(s) of the hearing(s), how and when the public was notified Statewide of the hearing(s), the hearing site(s), and how the content of the Plan was made available to the public in advance of the hearing. (658D(b)(1)(C), §98.14(c))

Three regional public hearings were conducted on June 4, 2001. The notification process included notice through the Bureau of Child Development Electronic Correspondence, as well as publication of the hearing notice in ten newspapers throughout the state. (Please refer to Attachment E for copy of public hearing notice and list of newspapers.)

Section 2.3 - Public-Private Partnerships: Describe the activities, including planned activities, to encourage public-private partnerships which promote private-sector involvement in meeting child care needs. (658D(b)(1), §98.16(d))

Indiana Child Care Quality Focus Fund

Background:

During the last ten years, the State of Indiana has invested over 100 million dollars on state and local efforts to improve the quality of child care services. Many successful projects have blossomed across the state, and some of the original goals have been reached. The Indiana Child Care Symposium in particular was very successful in organizing effective community responses that improve care for young Hoosiers. In spite of the successes, problems remain. Local initiatives are often pursued in isolation. Alliances with businesses and community organizations lack consistency across the state. Outcomes are often difficult to link with specific investments in quality. And, welfare reform has had a dramatic effect on the quality of child care services in completely unanticipated ways. But most importantly, our quality investments have not significantly changed the basic economic equation of low wages for child care workers and high costs of quality care for Hoosier families.

The Opportunity:

Given these circumstances, and a growing public expectation that even higher performance in quality initiatives can be achieved with the same or lower funding levels, it is clear that a new approach to funding local quality initiatives is required. Shifting local quality allocations from an entitlement program to a more competitive and focused matching grant program will offer several benefits.

- *It will send a clear message to program participants that the state intends to encourage continuous improvement in quality by gradually introducing some competition into the allocation of local funding.*
- *It will provide a vehicle for focusing local attention on high leverage activities.*

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- *It will allow for the establishment of clear performance benchmarks, as well as a mechanism for allocating funds to local programs that demonstrate high performance.*
 - *It will provide an opportunity to align local efforts with administration objectives through the negotiation for matching grants.*
 - *Finally, it will encourage local initiatives to develop strong funding alliances where communities wished to pursue additional funding.*

Need: Building the Community Case for Quality Child Care

Two key lessons learned from the Indiana Child Care Symposium are first, that when communities are motivated to solve a well-defined problem they can be extremely imaginative and effective, and second, that including the business community in the dialogue is difficult at best, but essential to success. One reason for this is that business does not always speak the same language as social service providers; another is that business does not share the same goals for the community as providers.

During the coming years, it will be essential for communities to develop the community case for quality care in ways that not only include business in the discussion, but that are actively led by local business partnerships. These partnerships should bring increasing attention to mobilizing all of the resources of local communities to simultaneously address both the supply-side and the demand-side issues associated with the economics of quality child care within local communities. This approach would build on the work of the Symposium and would help communities focus on the dilemmas that currently limit effective solutions.

The Indiana Child Care Fund Inc. (ICCF) offers a model of the kind of public/private partnership that communities will be expected to develop as part of this Child Care Quality Focus Fund initiative. Created by an executive order of Governor Frank O'Bannon in August of 1998, the Fund has proven to be an effective catalyst for involving businesses, not for profit organizations, and the public sector in developing and deploying innovative strategies that promote quality care.

Acting as the catalyst and project manager, the Indiana Child Care Quality Focus Fund would pursue the following strategies for encouraging communities to create their own business led quality child care initiatives.

- 1. Embed the dialogue about the economics of quality care within the context of the economic security needs of local communities. The Symposium has shown that child care is essentially a local problem of balancing supply and demand.*
- 2. Engage all elements of the community; local officials, businesses, community foundations, United Ways, education, etc. in solving the quality child care financing dilemma. This would create a focus for community mobilization, and ICCF could add value to this effort by locating supporting dollars.*
- 3. Begin to frame TEACH Indiana as a community development effort. By leveraging the current investment in TEACH, communities can build strategies around their strengths including the creation of a Community College of Indiana.*
- 4. Expand the strategy of encouraging businesses and local economic development organizations to drive local action for quality care that the Cinergy/PSI's mentor program has demonstrated. Challenge all local businesses, public agencies and economic developers that have a similar role to match the statewide benchmark for supporting quality care that Cinergy/PSI has established.*

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5. *Expand the Child Care Tool Kit to the Internet. Turn it into an interactive resource available to all community child care initiatives. Consider using the virtual community networks that are developing throughout Indiana as local Tool Kit hosts.*

Funding Proposal:

\$2.7 million dollars from Federal Quality Funds that includes resources from the Quality Expansion, Infant and Toddler, and School Age Set Asides.

<i>Year 1</i>	<i>46 New Focus Fund Projects @ \$50,000 per project</i>
<i>Year 2</i>	<i>23 New Focus Fund Projects @ \$50,000 per project</i>
	<i>46 Sustaining Projects @ \$20,000 per project</i>

Program Elements:

- 1. Eligible entities would be invited to compete for Focus Fund resources. They would be required to demonstrate that they have the active participation of all necessary parties, particularly business, and that they were committed to developing child care quality strategies that would lead to locally defined results.*
- 2. Eligible entities would also be expected to mobilize a wide range of local resources from all sectors of the community.*
- 3. Funds would be provided quarterly on the basis of negotiated performance benchmarks instead of annually.*
- 4. Performance in achieving quality goals would be established based on real-time evaluation of outcomes. The idea is to create a “virtuous cycle” of improving quality.*

Evaluation:

Communities that participate in the Quality Focus Fund approach will agree to participate in an evaluation process to assist in the preparation of technical assistance materials for future sites.

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PART 3 -- CHILD CARE SERVICES OFFERED

Section 3.1 - Description of Child Care Services:

REMINDER: The Lead Agency must offer certificates for services funded under 45 CFR 98.50. (98.30) Certificates must permit parents to choose from a variety of child care categories including center-based care, group home care, family child care and in-home care. (§98.30(e))

3.1.1 In addition to offering certificates, does the Lead Agency also have grants or contracts for child care slots?

() No.

(X) Yes, and the following describes the types of child care services and the range of providers that will be available through grants or contracts: (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b))

Child care services will be available through vouchers and at local Step Ahead Council's discretion, grants/contracts up to 10% of direct service dollars for licensed care. In addition, the Lead Agency contracts directly with licensed centers accessible to low income families.

The types of child care services available to eligible families are infant/toddler, 3 year olds through 4 year olds, 5 year olds, preschool, kindergarten, and before and after school care. These types of child care are offered on a full-time and part-time basis. Providers include, but are not limited to, licensed child care centers, licensed child care homes, registered ministries, legally license-exempt caregivers and in-home care.

Child care reimbursements are only made to certified providers. Certified is defined as child care either regulated by the state (licensed child care center, licensed family child care home, or a registered day care ministry) or legally license-exempt providers who have completed a registration process with the county voucher agent. All certified providers must meet the minimum standards.

3.1.2 The Lead Agency must allow for in-home care, but may limit its use. Does the Lead Agency limit the use of in-home care in any way?

() No.

(X) Yes, and the limits and the reasons for those limits are (§§98.16(g)(2), 98.30(e)(1)(iv)):

Care provided in a child's home by a resident (relative care):

Child care provided by an individual provider who resides in the child's home is defined as RELATIVE CARE. Reimbursement may only be made in these situations to the child's grandparents, great-grandparents, aunt, or uncle. The provider must be related by law, blood, or court decree. Parents, stepparents, and legal guardians are not to be reimbursed for the care

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of their own children. The reimbursement rate for relative care is the same as the Legally License-Exempt Provider (LLEP) home rate and reimbursed to the provider.

Care provided in a child's home by a non-resident (In-Home Care):

Child care provided by an individual provider who comes into the child's own home is defined as IN-HOME CARE. This provider may not reside at the child's address; this individual is a non-resident. Parents, stepparents, and legal guardians are not to be reimbursed for the care of their own children.

IN-HOME CARE is available only for families in which three or more related children require child care. The children all must be members of the same family and related to each other by blood or law.

The reimbursement rate for in-home care is calculated per family on an hourly rate consistent with the current federal minimum wage. This means there is one rate for all siblings. Reimbursement is limited to no more than 40 hours of care per week (Sunday through Saturday). The market rate does not apply in this situation.

Reimbursement for In-Home care must be made to the parent and not the provider of care who is classified by the Internal Revenue Service (IRS) as a domestic service worker. Two party checks to both parent and provider will not be given.

In this type of care situation, the parent is considered the employer of the provider. Reimbursement is to be made to the parent upon receipt of the child(ren)'s attendance verification. The parent is responsible for reimbursement to the provider and any applicable IRS tax withholding and reporting requirements. Failure of the parent to pay the provider may result in termination of the family from the program. Reimbursement to parents for in-home care are considered as public assistance and not as income; therefore, the Internal Revenue Service Form 1099 is not to be issued by the local voucher agent to the parent or to the provider. Parents must submit claims every two weeks to the voucher agent.

3.1.3 Are all of the child care services described in 3.1.1 above (including certificates) offered throughout the State? (658E(a), §98.16(g)(3))

(X) Yes

() No, and the following are the localities (political subdivisions) and the services that are not offered:

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Section 3.2 - Payment Rates for the Provision of Child Care:

The statute (at 658E(c)(4)) requires the Lead Agency to establish payment rates for child care services that ensure eligible children equal access to comparable care and these rates are provided as Attachment F. The attached payment rates are effective as of May 2001.

The following is a summary of the facts relied on by the State to determine that the attached rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF and other governmental programs. Include, at a minimum:

- The month and year of the local market rate survey(s): March 2000 (§98.43(b)(2))
- How the payment rates are adequate to ensure equal access based on the results of the above noted local market rate survey (i.e., the relationship between the attached payment rates and the market rates observed in the survey): (§98.43(b))

Payment rates are based on local market surveys of licensed care with rates established at the 75th percentile.

- Additional facts that the Lead Agency relies on to determine that its payment rates ensure equal access include: (§98.43(d))

N/A

- If the payment rates do not reflect individual rates for the full range of providers -- center-based, group home, family and in-home care -- explain how the choice of the full range of providers is made available to parents:

N/A

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Section 3.3 - Eligibility Criteria for Child Care:

By statute, all eligible children must be under the age of 13 and reside with a family whose income does not exceed 85% of the State Median Income (SMI) for a family of the same size and whose parent(s) are working or attending a job training or educational program or who receive or need to receive protective services. (658E(c)(3)(B), 658P(3), §98.20(a))

- 3.3.1 Complete column (a) in the matrix below. Complete Column (b) ONLY IF the Lead Agency is using income eligibility limits lower than 85% of the SMI).

IF APPLICABLE		
Family Size	(a) 85% of State Median Income (SMI) (\$/month)	(b) Income Level, lower than 85% SMI, if used to limit eligibility (\$/month)
1	\$2,036.29	\$1,296.00
2	\$2,662.85	\$1,751.00
3	\$3,289.40	\$2,207.00
4	\$3,915.95	\$2,662.00
5	\$4,542.50	\$3,118.00

- 3.3.2 How does the Lead Agency define “income” for the purposes of eligibility? Is any income deducted or excluded from total family income, for instance, work or medical expenses; child support paid to, or received from, other households; Supplemental Security Income (SSI) payments? Is the income of all family members included, or is the income of certain family members living in the household excluded? Please describe and/or include information as Attachment G. (§§98.16(g)(5), 98.20(b))

- 3.3.3 Has the Lead Agency established additional eligibility conditions or priority rules, for example, income limits that vary in different parts of the State, special eligibility for families receiving TANF, or eligibility that differs for families that include a child with special needs? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

- () No
(X) Yes, and the additional eligibility criteria are: (Terms must be defined in Appendix 2)

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- 3.3.4 Has the Lead Agency elected to waive, on a case-by-case basis, the fee and income eligibility requirements for cases in which children receive, or need to receive, protective services, as defined in Appendix 2? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))
- ☐ Not Applicable, CCDF-funded child care is not provided in cases in which children receive, or need to receive, protective services.
- ☐ No
- ☒ Yes
- 3.3.5 Does the Lead Agency allow child care for children age 13 and above who are physically and/or mentally incapable of self-care? (Physical and mental incapacity must then be defined in Appendix 2.) (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))
- ☐ No
- ☒ Yes, and the upper age is through 18.
- 3.3.6 Does the Lead Agency allow child care for children age 13 and above who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))
- ☐ No
- ☒ Yes, and the upper age is through 18.
- 3.3.7 Does the State choose to provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities? (§§98.20(a)(3)(ii), 98.16(f)(7))
- ☐ Yes. (**NOTE:** This means that for CCDF purposes the State considers these children to be in protective services.)
- ☒ No.
- 3.3.8 Does the State choose to provide respite child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))
- ☒ Yes.
- ☐ No.

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Section 3.4 Priorities for Children:

- 3.4.1 The following describes the priorities for serving CCDF-eligible children including how statutorily required priority is given to children of families with very low family income and children with special needs: (Terms must be defined in Appendix 2) (658E(c)(3)(B))

Indiana Child Care Voucher Priorities:

1. *Families receiving TANF with an adult in the TANF assistance group that are working or in an approved TANF IMPACT activity (including those with a zero grant);*
2. *Families transitioning off TANF – up to 12 months or until the family income exceeds 133% of the federal poverty level, whichever comes first; or*

County Child Care Voucher Priorities:

1. ***Child Protective Services (CPS)***
2. *Children with special needs who meet income and service eligibility guidelines*
3. *TANF applicants participating in “Applicant Job Search” (AJS) through the local OFC. These families are served for a maximum of four weeks per TANF application.*
4. *Families with the lowest income who are not receiving TANF or transitioning off TANF, but who are in danger (at risk) of becoming dependent on such assistance.*

- 3.4.2 The following describes how CCDF funds will be used to meet the needs of families who are receiving Temporary Assistance for Needy Families (TANF), families who are attempting through work activities to transition off of TANF, and families that are at risk of becoming dependent on TANF. (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

Families are eligible up to 181% of FPL. However, the state requires that no families over 143% FPL be placed on the voucher program. Counties are to serve the above priorities up to 143% FPL with TANF families as the number one priority.

Section 3.5 - Sliding Fee Scale for Child Care Services:

- 3.5.1 A sliding fee scale, which is used to determine each family's contribution to the cost of child care, must vary based on income and the size of the family. A copy of this sliding fee scale for child care services and an explanation of how it works is provided as Attachment H.

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Families with gross monthly income above 100% of poverty are required to pay a co-pay. Families at 100% of poverty or below will have a zero co-pay. (See Attachment H)

Only one fee is charged per family regardless of the number of children in the family receiving care. In cases where the family has more than one provider of child care, the fee should be collected for the child receiving the most care per week.

The family pays the fee to the provider directly. The provider is responsible for collecting the fee from the parent. Failure to pay family fees may result in termination of the child(ren) from the program.

Will the Lead Agency use additional factors to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

- ☒ (X) No.
☐ () Yes, and the following describes any additional factors that will be used to determine a family's contribution including, but not limited to, a maximum amount (family cap), number of children in care, and/or whether care is full or part-time:

3.5.2 Is the same sliding fee scale provided in the attachment in response to question 3.5.1 above in use in all parts of the State? (658E(c)(3)(B))

- ☒ (X) Yes
☐ () No, and other scale(s) are provided as Attachment ____.

3.5.3 The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size, (§98.42(c)), and the poverty level used by the Lead Agency for a family of 3 is: \$ 1,219/month.

The Lead Agency must elect ONE of these options:

- ☒ (X) ALL families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee.
☐ () ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
☐ () SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. A description of these families is:

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3.5.4 Does the Lead Agency have a policy which prohibits child care providers from charging families any unsubsidized portion of the providers' normal fees (in addition to the contributions discussed in 3.5.1)? (§98.43(b)(3))

(X) No

() Yes, please describe:

3.5.5 The following is an explanation of how the co-payments required by the Lead Agency's sliding fee scale(s) are affordable: (§98.43(b)(3))

Families above 100% FPL have co-pays based on income and family size.

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Section 3.6 - Certificate Payment System:

A child care certificate means a certificate, check, or other disbursement that is issued by the Lead Agency directly to a parent who may use it only to pay for child care services from a variety of providers (including center-based, group home, family and in-home child care), or, if required, as a deposit for services. (658E(c)(2)(A)), 658P(2), §§98.2, 98.16(k), 98.30(c)(3) & (e)(1))

Describe the overall child care certificate payment process, including, at a minimum:

3.6.1 A description of the form of the certificate: (§98.16(k))

Please refer to Attachment I for a sample of this certificate.

3.6.2 A description of how the certificate program permits parents to choose from a variety of child care settings by explaining how a parent moves from receipt of the certificate to the choice of provider; (658E(c)(2)(A)(iii), 658P(2), §§98.2, 98.30(c)(4) & (e)(1) & (2))

When it has been determined that the family is eligible for services and that there are sufficient funds to pay for the services needed, the voucher agent issues the voucher certificate. Either the voucher agent, or a collaborative partner, such as Child Care Resource and Referral, provides the parent with the consumer education information and materials that have been created to guide parental choice of quality child care. The parent also receives a listing of potential care settings and providers available locally.

In the event that the parent already has a chosen provider or when the parent makes a choice from the local care options, the provider must become certified or registered with the voucher agent. The parent is given a packet appropriate to the preferred care setting. The parent takes the packet to the provider. The provider completes the application packet and returns it to the parent. If it eases the process to mail the information to the provider, and from provider to voucher agent, this can be done. However, the parent must be afforded an opportunity to review the application packet, and Health and Safety Assessment for license-exempt providers.

See Flow Chart; Attachment J.

3.6.3 If the Lead Agency is also providing child care services through grants and contracts, explain how it ensures that parents offered child care services are given the option of receiving a child care certificate. (§98.30(a) & (b))

A contract is written between the lead agency and local voucher agent. Contract language includes special conditions which pertain to offering eligible families the option of a voucher or referral to sub-grantees funded through the contract. (Refer to Attachment K for copy of contract.)

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PART 4 - PROCESSES WITH PARENTS

4.1 The following describes the process for a family to apply/receive child care services (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a) through (e)). If the process varies for families based on eligibility category, for instance, TANF versus non-TANF, please describe. The description should include:

- How parents are informed of the availability of child care services and of available child care options;
- Where/how applications are made;
- Who makes the eligibility determination;
- How parents who receive TANF benefits are informed about the exception to individual penalties as described in 4.4; and
- Length of eligibility including variations that relate to the services provided, e.g., through collaborations with Head Start or pre-kindergarten programs.

The local CCDF plan established by the county Step Ahead Council designates an entity to manage the child care voucher program. The voucher agent is responsible for marketing, client eligibility determination, maintenance of a caregiver directory, consumer education, issuance of the voucher, facilitation of caregiver reimbursements, and the collection and reporting of statistical information (see Attachment L).

Accessibility for families is addressed in the local plan. The determination of eligibility is the shared responsibility of the parent and the voucher agent and must be complete in five working days.

It is the Lead Agencies responsibility to inform parents who receive TANF benefits about the exceptions to the individual penalties. In fulfilling that requirement the Lead Agency works closely with the TANF agency who responsible for establishing criteria or definitions.

Length of eligibility for child care services is a local decision of the Step Ahead Council with regard as to how long a family may stay in the certificate program. However, a family's eligibility is re-determined every six months and at that time, a family may no longer be eligible from an income standpoint.

4.2 The following is a detailed description of how the State maintains a record of substantiated parental complaints and how it makes the information regarding such parental complaints available to the public on request. (658E(c)(2)(C), §98.32))

Refer to Attachments C & M, Consumer Comments and Appeals Process and Rights and Obligations.

At the time of application with the voucher agent, parents are given the Child Care and Development Fund Rights and Obligations form (please see Attachment M). This form clearly

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indicates parental rights, not only in regards to the administration of the Child Care and Development Fund, but also with the service they receive from the provider.

As indicated in Attachment C, Numbers 6, 7, & 8, all appeals are handled at the local level first and all written documentation is forwarded to the Bureau of Child Development staff at the state level. As indicated in numbers 7 & 8, once the appeal reaches the state level, these records and documentation of said complaints are also maintained by either the Bureau of Child Development or the Hearings and Appeals Section of Indiana Family and Social Services Administration. This process is for parent complaints regarding providers as well as complaints against the voucher agent administering the CCDF funds.

- 4.3 The following is a detailed description of the procedures in effect in the State for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds. (658E(c)(2)(B), §98.31))

At the time of application with the local voucher agent, the parent is informed of their rights and responsibilities. Included is the right to visit their children at all times and to see all areas used for child care (see Attachment M). Providers, at the time of registration with the local voucher agent, sign an agreement that states parents will have unlimited access to their children while being cared for by the provider.

- 4.4 The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care:

(NOTE: The TANF agency, not the Child Care Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record. The TANF agency that established these criteria or definitions is: Family and Social Services Administration.
Division of Family and Children.

- "appropriate child care":

Care which is provided in accordance with Indiana law. Appropriate child care is either licensed, registered, or license exempt.

- "reasonable distance":

is a round trip from home to child care setting of less than two hours in duration by automobile.

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- "unsuitability of informal child care":

is care which has resulted in abuse or neglect of a child or care which is subject to licensure requirements, but is not licensed.

- "affordable child care arrangements":

would be any care which is totally subsidized by the agency as TANF recipients are not expected to pay anything for child care.

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**PART 5 - ACTIVITIES & SERVICES TO IMPROVE
THE QUALITY AND AVAILABILITY OF CHILD CARE**

5.1 The Child Care and Development Fund provides earmarks for infant and toddler care and school-age care and resource and referral services as well as the special earmark for quality activities.

- The following describes the activities funded to improve the quality of care for infants/toddlers and identifies the entity(ies) providing them:
 - *Indiana's public/private partnerships frequently focus on needed resources for parents needing infant/toddler care and the improvement of infant/toddler care in the county.*
 - *County quality plans list specific activities involving infant/toddler care such as compensation, CDA credentialing, training, supplies and equipment, and CPR/First Aid training.*
 - *The T.E.A.C.H. Early Childhood® INDIANA project is a partnership. The participating early childhood provider and their sponsoring child care program enter into a partnership with the T.E.A.C.H. project and the university or college providing the professional development. All partners pay a portion of the cost for the scholarship. Funding for Indiana's T.E.A.C.H. project comes from the Indiana Child Care Fund, Inc., a public/private partnership launched on December 2, 1997 by Governor Frank O'Bannon together with private sector corporate champions.*
 - *Child Care Learning: The Online, Anytime Learning for Child Care Providers The Family and Social Services Administration and its partners continue to seek opportunities to deliver high quality instruction and certification to child care providers throughout the state. Although programs offered to date effectively provide continuing education and certification opportunities. As a potential solution for daycare providers, web based learning has been proposed to address the needs of providers in areas with limited or no access to on-going education. Students can take the classes whenever they have available time and wherever they are located. The web address is www.IN.gov/childcarelearning.org and will be up and running in 2002.*
- The following describes child care resource and referral activities funded and identifies the entity(ies) providing them:

A portion of the CCDF Quality dollars are used for Child Care Resource and Referral (CCRR) (see Attachment D for roster of CCRR agencies), including local agencies and the state agency, known as the Indiana Association of Child Care Resource and Referral (IACCRR). The DFC considers IACCRR to be the umbrella organization under which the local organizations function, and therefore expects the

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local agencies to become members of the organization. IACCRR is charged with assuring consistency in data collection and service delivery, among other things.

Child care resource and referral is a community-based organization providing supported services which create linkages between diverse elements of the child care system. The Step Ahead Council is responsible for choosing an entity.

Through the functions of CCRR: Supporting Families, Supporting Providers and Supporting Communities, the CCRR system focuses on the following core services:

- *Provide consumer education and referrals;*
- *Build the supply of child care resources;*
- *Provide technical assistance support to providers;*
- *Maintain a database on provider supply;*
- *Collect and analyze data on consumer demand;*
- *Provide technical assistance to employers*
- *Has had training in diversity and special needs.*

Indiana Business Partnership Project

This project is supported by the Indiana Family and Social Services Administration. The Business Partnership Project is dedicated to increasing productivity in the workplace by providing work-life solutions. Business want initiatives that pay for themselves. As more and more companies are implementing work/family policies, their experiences are improving our understanding of the return employers can expect from work/family investments.

- The following describes school-aged child care activities funded and identifies the entity(ies) providing them.

Funds from this portion of the CCDF can be used for:

1. *Providing child care to low-income (below approximately 181% of poverty) school-age children, ages 5 to 13 (or those ages 13 through 18 that have been documented special need(s); and/or*
2. *Programming costs such as planning, development, operation, expansion, and/or improvement of before and/or after school age care services. Examples of programming costs are:*
 - *materials and supplies;*
 - *equipment; and*
 - *salaries.*

These funds are available for before and/or after school age care services during the regular school term, for wrap-around summer school care services, and for full-time care for school age children during vacation periods, including summer and Holidays, and when parents work non-traditional hours (any care provided outside Monday through Friday, 6:00 a.m. to 6:00 p.m.). Programs can be conducted at a public school site, child care facility, community center, registered ministry, or family child care home.

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Each school corporation in the State of Indiana receives a CCDF-SAC allocation (see Attachment N) of funds. The school corporation must be a significant player in the planning and allocation of these funds in every county and has the first right of refusal to these dollars. Their intention to utilize or decline these funds will determine the options available to the Step Ahead Council. In a collaborative process, the Council and the school corporation(s) decide:

- 1. who will be contracted for conducting SAC programs in the county for school corporations;*
- 2. the amount of dollars per provider; and*
- 3. how these dollars will be contracted (if applicable).*

The first priority for these dollars is to establish school-based programs and to honor existing program commitments. Therefore, Step Ahead Councils are to allow school corporations the first right of refusal to these funds. If one school corporation in a county is not using their allocation, the next appropriate action is to offer these funds to a school corporation who has SAC programming.

The next priority is to make these funds available to other providers of school age care other than public school corporations (e.g. child care centers, YMCA's, community center(s)).

Based on the purposes and priorities specified above, the Step Ahead Council determines which of the following contracting options will best meet the county's needs. Contracting options include:

- 1. The SAC funds are contracted to the CCDF voucher agent and the funds are used as vouchers for school age children; and/or*
- 2. The SAC funds are contracted to the CCDF voucher agent who subcontracts the SAC services with a provider(s), i.e. school corporation, child care center, community center, registered ministry, or family child care home. A Memorandum of Understanding must be developed between the voucher agent and each sub-grantee.*

- 5.2 The law requires that not less than 4% of the CCDF be set-aside for quality activities (658E(c)(3)(B), 658G, §§98.13(a), 98.16(h), 98.51, 98.16(h)). The Lead Agency estimates that the following amount and percentage will be used for the quality activities (not including earmarked funds):

\$ 7,983,375.00 (4 %)

- 5.3 Check either "Yes" or "No" for each activity listed to indicate which activities the Lead Agency will undertake to improve the availability and quality of child care (include

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activities funded through the 4% quality set-aside as well as the special earmark for quality activities). (658E(c)(3)(B), §§98.13(a), 98.16(h))

Yes No

- ☒ ☐ comprehensive consumer education; (§98.51(a)(1)(i))
- ☐ ☒ grants or loans to providers to assist in meeting State and local standards; (§98.51(a)(2)(ii))
- ☒ ☐ improving the monitoring of compliance with licensing and regulatory requirements; (§98.51(a)(2)(iii))
- ☒ ☐ training, education, and technical assistance; (§98.51(a)(2)(iv))
- ☒ ☐ improving salaries and other compensation for child care providers; (§98.51(a)(2)(v))
- ☒ ☐ other quality activities that increase parental choice, and improve the quality and availability of child care. (§98.51(a)(1)(ii) & (ii))

5.4 Describe each activity that is checked "Yes" above and identify the entity(ies) providing them.

Comprehensive Consumer Education: (See attachment O.)

Each county has been supplied with various educational materials from the lead agency. These materials include, but are not limited to, Seek and Demand Quality Child Care brochures, posters, stickers, and highway billboard signs.

Each county, through their Step Ahead Council also receives localized materials and consumer education materials through "Building Bright Beginnings" and the local Child Care Resource and Referral agency.

***Utilization of Technology: Indiana Bureau of Child Development
Web-based Care Finder***

A web-site has been developed that enables families on the Child Care and Development Fund program to locate suitable and convenient child care. This site went on-line in the first quarter of 2001. Visitors to the site can locate the closest licensed child care providers, find the local voucher agent and obtain information on the licensing status of a provider.

The parent can also view licensing information on any of the licensed providers. The website is integrated with the Bureau of Child Development Licensing Division database to provide the parent with up-to-date information on a provider's current license status, inspection history and various features offered to the public.

The website will be made available to families at each voucher agent's site to use at any time to search for a care provider. For those with access to the web, this website is available 24 hours a day, seven days a week.

With a host of licensing information, detailed directions to each provider's facility and an unrestricted number of choices available for review, this website is expected to complement the services that are currently offered by resource and referral agencies to Indiana families. With this additional information, parents have the ability to make better informed decisions when choosing a child care provider.

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Improving the monitoring of compliance with licensing and regulatory requirements:

The Bureau of Child Development has designed a monitoring document along with surveys. The monitoring is done with each contract period.

Training, education and technical assistance:

The Division of Family and Children, Bureau of Child Development, provides training and technical assistance through training statewide as needed and through the Educare consultants for each county, when requested. The technical assistance is a continuous on-going process.

Implementation of the Web-Based Instruction for Child Care Workers: The new On-Line college credit Child Development Associate credential has been announced by the Governor and will be implemented through a seven county pilot on 5/15/01; the partnership is with the Indiana Child Care Fund, Inc., Ivy Tech State College, St. Mary's of the Woods, HeadStart, T.E.A.C.H. and the Office of State Student Assistance; scholarships will be awarded by T.E.A.C.H. and financial assistance will be offered through Pell Grants and the state student assistance.

Improving salaries and other compensation for child care providers:

Each county has the option of including some form of compensation for caregivers/providers in its county quality plan.

The T.E.A.C.H. (Teacher Education and Compensation Helps) Early Childhood® INDIANA Project serves as an umbrella for a variety of educational scholarship opportunities for people working in licensed, registered or exempt child care centers and homes in Indiana. In 1998, the Indiana Association for the Education of Young Children (IAEYC) received financial support from the Indiana Child Care Fund to launch the T.E.A.C.H. Early Childhood® INDIANA Project. Through private sector contributions and CCDF Quality Funds, T.E.A.C.H. Early Childhood® INDIANA estimates supporting 2,000 students by 2002. Any teacher, director or family child care home provider working in a state regulated child care setting is eligible to apply for a scholarship

Other quality activities that increase parental choice, that improve the quality and availability of child care:

Step Ahead Councils have developed a wide variety of quality enhancement activities. Councils are encouraged to include providers in creative planning around quality dollars. County plans have been compiled into booklet form by the Division of Family and Children, as a resource for local councils. The following are examples of how these funds may be spent. It is important that each council target local priorities specific to the needs of its community.

- *Consumer Education: How to choose quality care, types of care, parenting classes on healthy parent/child relationships;*
- *Activities which explain the value of using or being a licensed provider;*
- *Public awareness for quality child care issues;*

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- *Consumer education for families also using the services of the Local Offices of Family and Children;*
 - *Activities which support increasing licensed child care capacity in a county. Sponsor provider participation in activities by paying for subs, travel expenses, etc.;*
 - *Lending library expenses: books, toys, cribs, gross motor play equipment, etc.;*
 - *Minor remodeling of child care facilities including, but not limited to fencing, health and safety improvements, playground structures;*
 - *Leveraging private sector funds, sharing costs with collaborators;*
 - *Activities to improve the health and safety of children in child care settings;*
 - *Activities which support licensing of child care sites;*
 - *Training for child care providers of all types;*
 - *Sponsor scholarships for Child Development Associate (CDA), accreditation for centers and homes;*
 - *CPR/First Aid/Health and Safety trainings;*
 - *Purchase of materials by Child Care Resource and Referral agencies;*
 - *Indiana Child Care Collection videos or other training materials for both providers and parents;*
 - *Provide training for providers caring for special needs children, ages 0-18;*
 - *Increase provider compensation in the form of insurance, incentives, or salaries when tied to an activity intended to raise the level of quality in their facility;*
and
 - *Provide supplemental funding to the designated Child Care Resource and Referral agency in the area.*

The quality plans must meet one of these three identified goals:

- 1. Consumer Education/Partnership with private sector*
- 2. Increase licensed/accredited capacity*
- 3. Increase credential/degree professionals*

The Bureau of Child Development is dedicated to ensuring the safety of children in licensed child care centers. The National Program for Playground Safety identifies key areas that could help substantially reduce the number of playground injuries and keep our children SAFE – through proper Supervision, Age appropriate equipment, materials to soften Falls to the surface and Equipment maintenance. The division will offer funding to licensed child care centers to help make their playgrounds safe.

- 5.5 Is any entity identified in sections 5.1 or 5.4 a non-governmental entity?
 () No.
 (X) Yes, the following entities named in this Part are non-governmental:

The State of Indiana has designed the program in such a way to allow local decision making. The counties are provided direction from the lead agency, and are provided technical assistance to make choices locally through their Step Ahead Councils. The Step Ahead Councils approve the use of quality funds and in most cases, these services are contracted out to non-governmental agencies.

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The Step Ahead Councils select a fiscal agent to disburse their quality funds for their county plans. In the Step Ahead process, most fiscal agents are non-governmental agencies.

PART 6 - HEALTH AND SAFETY REQUIREMENTS FOR PROVIDERS

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(ONLY THE 50 STATES AND THE DISTRICT OF COLUMBIA COMPLETE PART 6.
ONLY TERRITORIES COMPLETE PART 7.)

The National Resource Center for Health and Safety in Child Care (NRCHSCC) of DHHS's Maternal and Child Health Bureau supports a comprehensive, current, on-line listing of the licensing and regulatory requirements for child care in the 50 States and the District of Columbia. In lieu of requiring a State Lead Agency to provide information that is already publicly available, ACF accepts this compilation as accurately reflecting the States' licensing requirements. The listing, which is maintained by the University of Colorado Health Sciences Center School of Nursing, is available on the World Wide Web at: <http://nrc.uchsc.edu/>

Section 6.1 - Health and Safety Requirements for Center-Based Providers (658E(c)(2)(F), §§98.41, §98.16(j))

6.1.1 Are all center-based providers paid with CCDF funds subject to licensing under State law which is reflected in the NRCHSCC's compilation referenced above? If:

- ☒ (X) YES, answer 6.1.2 and proceed to 6.2.
☐ () NO, answer 6.1.2 and 6.1.3.

6.1.2 Have center licensing requirements as relates to staff-child ratios, group size, or staff training been modified since approval of the last State Plan? (§98.41(a)(2) & (3))

- ☐ () YES
☒ (X) NO

6.1.3 For that center-based care which is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

Section 6.2 - Health and Safety Requirements for Group Home Providers (658E(c)(2)(F), §§98.41, 98.16(j))

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6.2.1 Are all group home providers paid with CCDF funds subject to licensing under State law which is reflected in the NRCHSCC's compilation referenced above? If:

- (X) YES, answer 6.2.2 and proceed to 6.3.
() NO, answer 6.2.2 and 6.2.3.

6.2.2 Have group home licensing requirements as relates to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan?
 (§98.41(a)(2) & (3))

- () YES
(X) NO

6.2.3 For that group home care which is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

Section 6.3 - Health and Safety Requirements for Family Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.3.1 Are all family home child care providers paid with CCDF funds subject to licensing under State law which is reflected in the NRCHSCC's compilation referenced above? If:

- () YES, answer 6.3.2 and proceed to 6.4.
(X) NO, answer 6.3.2 and 6.3.3.

6.3.2 Have family home child care provider requirements as relates to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan?
 (§98.41(a)(2) & (3))

- (X) YES
() NO

6.3.3 For that family home care which is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

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- The prevention and control of infectious disease (including age-appropriate immunizations)
 - Building and physical premises safety
 - Health and safety training

Subsidy reimbursement to Legally License-Exempt Providers (LLEP):

The State will be requiring that any provider who receives CCDF dollars for child care services meet eight minimum standards. All child care providers must complete eight minimum health and safety requirements in order to be a certified provider in the CCDF voucher program.

All such providers accepting subsidy reimbursements MUST:

- 1. Consent to and pay for their own limited criminal history check and a limited criminal history check for all residents of the provider's home or child care site who are 18 years of age or older.*
 - a) The limited criminal history check is to be conducted by the Indiana State Police.*
 - b) Limited criminal history checks are to be done at the time a provider becomes certified and annually thereafter.*
 - c) See sections from the Indiana Code for guidance on how to assess the receipt of negative limited criminal history check.*
- 2. Have working smoke detectors that meet the same requirements as for licensed child care homes in Indiana.*
- 3. Have an annual intradermal TB test and provide the result to the voucher agent. All adult residents in the provider's home who are 18 years of age or older must also have annual TB test and result.*
- 4. Have a written emergency plan for notifying parents regarding:*
 - a) Illness, serious injury, or death of a provider;*
 - b) A back-up plan for care in an emergency; and*
 - c) A plan for emergency evacuation that is available in a conspicuous location.*
- 5. Maintain current certification in infant/toddler CPR and first aid training*
- 6. Have one working telephone in each child care home or site*
- 7. Have monthly, documented fire drills in each child care home or site*
- 8. Provide for a safe environment:*
 - a) Firearms and ammunition will be locked up in an area away from the children in care*
 - b) Poisons, chemicals, bleach, cleaning materials will be stored on high shelves away from children's reach or locked up*

All child care providers must sign the health and safety requirements checklist required for the CCDF provider certification. Parents must sign the form and have it notarized.

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If a provider chooses not to accept the requirements, the provider will not be eligible to receive subsidy reimbursements.

In addition, all providers are required to complete the “Child Care Health and Safety Self-Assessment” as a part of the registration process (see Attachment P).

Section 6.4 - Health and Safety Requirements for In-Home Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.4.1 Are all in-home child care providers paid with CCDF funds subject to licensing under State law which is reflected in the NRCHSCC's compilation referenced above?
If:

- ☐ YES, answer 6.4.2 and proceed to 6.5.
☒ NO, answer 6.4.2 and 6.4.3.

6.4.2 Have in-home health and safety requirements as relates to staff-child ratios, group size, or training been modified since the approval of the last State Plan?
(§98.41(a)(2) & (3))

- ☐ YES
☒ NO

6.4.3 For that in-home care which is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

Please refer to Section 6.3.3 Also, all providers are required to complete the “Child Care Health and Safety Standards Self-Assessment” as a part of the registration process (see Attachment P).

Section 6.5 - Exemptions to Health and Safety Requirements

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At State option, the following relatives: grandparents, great grandparents, aunts, uncles, or siblings who live in a separate residence from the child in care, may be exempted from health and safety requirements (658P(4)(B), §98.41(a)(1)(ii)(A)). Indicate the Lead Agency policy regarding these relative providers:

- (X) All relative providers are subject to the same requirements as described in sections 6.1 - 6.4 above, as appropriate; there are no exemptions for relatives or different requirements for them.
- () All relative providers are exempt from all health and safety requirements.
- () Some or all relative providers are subject to different health and safety requirements from those described in sections 6.1 - 6.4. The following describes those different requirements and identifies which relatives they apply to:

Section 6.6 - Enforcement of Health and Safety Requirements

Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) The following is a description of how health and safety requirements are effectively enforced:

- Are child care providers subject to routine unannounced visits?
 - () No
 - (X) Yes, and the following describes the providers subject to unannounced visits and the frequency of those visits.

For licensed child care centers and homes the Division of Family and Children is required to make one unannounced visit a year for licensing and one for health. Any follow-up visits due to non-compliances are also unannounced. If a licensed center receives a complaint that also requires an unannounced visit.

Registered ministries are required by the Division of Family and Children to have four unannounced visits per year. Any follow-up visits are also unannounced.

- Are child care providers subject to background checks?
 - () No
 - (X) Yes, and the following describes the providers subject to background checks.

The Division of Family and Children does background checks on all applicants for licensed center, licensed homes and registered ministries. Licensed centers and homes reapply every two years and background checks are completed at that time on all applicants. Registered ministries must reapply every year. The employer is required to do background checks on an employee upon hire. The States CCDF Minimum Standards require background checks for all providers who wish to receive CCDF vouchers.

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- Does the State require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)
 - () No
 - (X) Yes, and the following describes the State's reporting requirements and how such injuries are tracked (if applicable).

The Division of Family and Children require that licensed child care centers report any injuries that require medical attention. The Division of Family and Children tracks the number of injuries and compiles a yearly statistical report. A letter and a summary of the report is sent to all child care center.

- Other methods used to ensure health and safety requirements are effectively enforced:

Indiana law requires all child care centers to be licensed to operate. A child care home caring for six or more children, unrelated to the provider, is also required to be licensed. Churches offering child care are required to register with the State and are required to meet State Fire Marshal standards and health and sanitation standards. The Division of Family and Children has several options with regard to enforcement of state child care licensing regulations. Indiana Code at 1C-12-17.2 et.seq.

A person may not operate a child care center or a child care home without a license issued by the Division of Family and Children. The State or a political subdivision of the State may not operate a child care center or a child care home without a license issued by the Division of Family and Children.

The Division must investigate a report of an unlicensed child care center or a child care home and report the Division's findings to the Attorney General and to the local Office of Family and Children attorney and the prosecuting attorney in the county where the facility is located. Any of the three attorney's mentioned above may do the following:

- 1. Seek the issuance of a search warrant to assist in the investigation.*
- 2. File an action for injunction relief to stop the operation of a child care center or a child care home if there is reasonable cause to believe that:*
 - a. The child care center or child care home is operating without a license.*
 - b. A licensee's non-compliance with the law and the rules adopted under the law creates an imminent danger of serious bodily injury to a child or an imminent danger to the health of a child.*
- 3. Seek in a civil action a civil penalty not to exceed one hundred dollars (\$100) a day each day a child care center or a child care home is operating without a license.*
 - a. The Division may provide for the removal of children from a child care center or a child care home.*
 - b. An opportunity for an informal meeting with the Division shall be available after the injunctive relief is ordered.*
 - c. The civil penalties collected under this section shall be deposited in the child care fund.*

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The Division may revoke or suspend a license or deny an application for a license if the licensee or applicant is found in non-compliance with the laws and/or regulations governing their operations. Applicants or licensees which have a license denied, revoked, or suspended have rights of due process and are allowed to file for an administrative appeal within thirty days of the Division's action to deny, revoke, or suspend.

The Division may also issue probationary licenses to a licensee who is temporarily unable to comply with a rule if:

- 1. The non-compliance does not present an immediate threat to the health and well-being of the children.*
- 2. The licensee files a plan with the Division or the State Fire Marshal to correct the areas of non-compliance within the probationary period.*
- 3. The Division or State Fire Marshal approves the plan.*

A probationary license is valid for six months. The Division may extend a probationary license for one additional period of six months. An existing license is invalidated when a probationary license is issued. At the expiration of the probationary license, the Division shall reinstate the original license to the end of the original term of the license, issue a new license, or revoke the license.

The following constitutes grounds for denial, revocation, or suspension of a license:

- A. A determination by the Division of child abuse or neglect.*
- B. A criminal conviction of any felony or a misdemeanor related to the health and safety of a child.*
- C. A determination by the Division that an applicant made false statements in the applicant's application for licensure.*
- D. A determination by the Division that the applicant made false statements in the records required by the Division.*

The Division is required to make an annual inspection of each child care center and home licensed by the Division.

The State Fire Marshal's office and the Child Care Health Unit (TN's, RD's, and Sanitary Engineers) make annual inspections of licensed child care centers.

In addition, the Division follows up on any complaint registered against a licensed center or home. Exempt providers who operate with more children than allowed by law are also

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investigated. Licensed facilities, which have received a probationary license, are monitored on a monthly basis during the probationary period.

The Division averages three inspections per year per licensed center.

Section 6.7 – Exemptions from Immunization Requirements

The State assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the State public health agency. (§98.41(a)(1))

The State exempts the following children from immunization (check all that apply):

- ☒ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☒ Children who receive care in their own homes.
- ☒ Children whose parents object to immunization on religious grounds.
- ☒ Children whose medical condition contraindicates immunization.

Indiana has seven categories of child care that receive CCDF funds:

- 1. Licensed Child Care Centers;*
- 2. Licensed Child Care Homes;*
- 3. Registered Child Care Ministries; and*
- 4. Legally Licensed-Exempt Child care.*
- 5. Accredited Homes*
- 6. Accredited Centers*
- 7. Ministry Certificate License*

In licensed child care centers, immunizations are required, but variances are routinely granted for reasons of parental religious objection or professionally documented medical contraindication.

In licensed child care homes and registered ministries, there are regulatory requirements, but parent(s) only have to give a written statement to provider to exempt child for religious or medical reasons.

In legally license-exempt settings, the voucher agent shall verify age appropriate immunizations for eligible children in accordance with the Division of Family and Children policy (Attachment P).

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APPENDIX 1 -- PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures that:

- 1) upon approval, it will have in effect a program which complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice from among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d)).
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))

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The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))
- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers that provide services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

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APPENDIX 2 - ELIGIBILITY AND PRIORITY TERMINOLOGY:

For purposes of determining eligibility and priority for CCDF-funded child care services, lead agencies must define the following terms. (658P, 658E(c)(3)(B))

- (1) attending (a job training or educational program; include minimum hours if applicable)

One is “attending” job training or an educational program when participation occurs outside of the home for a job training or educational program.

- (2) in loco parentis -

According to Sturup . Mahan, 261 Ind. 463, 305 N. E. 2d 877 (1974), a person stands in loco parentis when he assumes the legal obligation of parent without adoption.

- (3) job training and educational program -

A formal progression of activities designed to lead to specifically defined educational goals or readiness for a specific field of employment and provided by an institution licensed or accredited by the State for this purpose.

- (4) physical or mental incapacity (if the Lead Agency provides such services to children age 13 and older) -

Children who are under court supervision or meet the definition of special needs.

Special needs is documented by enrollment in one or more of the following programs or services:

- *Children with special health care services;*
- *Public school special education; or*
- *Supplemental Security Income (SSI).*

- (5) protective services -

Services provided by an established agency or organization to protect children or persons at risk of abuse/neglect or exploitation. Income eligibility and fee requirements can be waived.

- (6) residing with -

Families are eligible for child care subsidies when the applicant is the parent of a child who resides with them and the child is under the age of 13 (or through age 18 in cases of special needs).

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(7) special needs child -

Special needs is documented by enrollment in one or more of the following programs or services:

- *Children with special health care services;*
- *First Steps Early Intervention System;*
- *Public school special education;*
- *Supplemental Security Income (SSI); or*
- *Head Start (those professionally diagnosed children with disabilities).*

If documentation/verification of enrollment in at least one of the above-indicated programs cannot be obtained, the child will not be considered as a child with special needs until the documentation/verification can be provided. Providers and/or parents cannot self-declare that a child has special needs.

If a parent indicates that a child is not enrolled in any of these five programs and has not been evaluated, and the provider believes the child may have a special need, the provider shall provide referral information to the appropriate agencies listed above and encourage the parent to have the child evaluated.

(8) very low income -

Very Low Income level is below 143% of the federal poverty guidelines.

(9) working (include minimum hours if applicable) -

A person receiving wages or salary for performing services for another person or organization or receiving compensation for a service or product, that person is said to be a working person.

(10) Additional terminology related to conditions of eligibility or priority established by the Lead Agency:

Please see Definitions Section in CCDF Policy and Procedures Manual, Attachment Q.

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